

**PATENTS**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** Burghard Grüning, et al.

**Docket:** 14885

**Serial No:** Unassigned

**Art Unit:** Unassigned

**Filed:** Herewith

**Dated:** October 12, 2001

**For:** ENZYMATIC PREPARATION  
OF HYDROXY FATTY ACID ESTERS  
OF POLYDHYDRIC ALCOHOLS WHICH  
ARE SOLID AT ROOM TEMPERATURE



Assistant Commissioner for Patents  
United States Patent and Trademark Office  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. U.S. Patent No. 5,744,130, dated April 28, 1998, issued to Guskey, et al.;
2. German Patent No. 155 771, dated July 7, 1982;

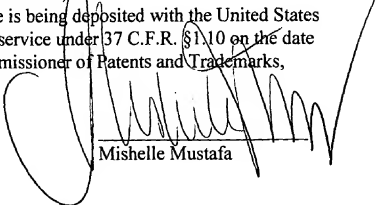
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**CERTIFICATE OF MAILING BY EXPRESS MAIL**

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I hereby certify that this correspondence is being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Dated: October 12, 2001

  
Mishelle Mustafa

3. German Patent No. 44 20 516 A1, dated December 14, 1995;
4. German Patent No. 44 20 516 C2, dated December 14, 1995;
5. PCT No. WO 98/58623, dated December 30, 1998;
6. PCT No. WO 98/27952, dated July 2, 1998;
7. Mukherjee, et al., "Substrate Specificity of Lipases in Protease Preparations", J. Agric. Food Chem. 1998, 1998 American Chemical Society, Published on the Web May 13, 1998;
8. Ghosh, et al., "Lipase-Catalyzed Synthesis of Hydroxy Stearates and Their Properties", JAOCS, Vol. 75, No. 8 (1998) pp. 1057-1059;
9. Waldinger, et al., "Enzymatic Esterification of Glycerol III. Lipase-Catalyzed Synthesis of Regioisomerically Pure 1, 3-sn-Diacylglycerols and 1 (3)-rac-Monoacylglycerols Derived from Unsaturated Fatty Acids", JAOCS, Vol. 73, No. 11 (1996), pp. 1513-1519;
10. Bell, et al., "Derivatives from Hydrogenated Castor Oil", Journal of the American Pharmaceutical Association, 32 (1943), pp. 115-118;
11. Abstract of Japanese Patent No. JP 55147238, dated November 17, 1980, American Chemical Society (2001); and
12. Abstract of Japanese Patent No. JP 59014019, dated April 2, 1984, American Chemical Society (2001).

Applicants are submitting a copies of the above-cited references. The relevance of the above-identified references has been described in the specification.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,


A handwritten signature in black ink, appearing to read "Leslie S. Szivos", with a long horizontal flourish extending to the right.

Leslie S. Szivos

Registration No.: 34,394

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LSS:tt

| Form PTO-1449<br>U.S. DEPARTMENT OF COMMERCE<br>(REV. 7-80) PATENT AND TRADEMARK OFFICE<br><br><b>LIST OF PRIOR ART<br/>CITED BY APPLICANT</b><br><br>(Use several sheets if necessary)  |  | Atty. Docket No.<br><br>14885 | Serial No.<br><br>Unassigned |  |                     |                                 |    |
|--|--|-------------------------------|------------------------------|---|---------------------|---------------------------------|----|
| Applicant<br>Burghard Grüning, et al.  |  | Filing Date<br>Herewith       |                              |   | Group<br>Unassigned |                                 |    |
| <b>U.S. PATENT DOCUMENTS</b>   |  |                               |                              |   |                     |                                 |    |
| EXAMINER<br>INITIAL*   | DOCUMENT NUMBER  | DATE                          | NAME                         | CLASS   | SUBCLASS            | FILING DATE<br>(if appropriate) |    |
|  | AA   | 5,744,130                     | 4/28/98                      | Guskey, et al.  |                     |                                 |    |
|  | AB   |                               |                              |   |                     |                                 |    |
|  | AC   |                               |                              |   |                     |                                 |    |
|  | AD   |                               |                              |   |                     |                                 |    |
|  | AE   |                               |                              |   |                     |                                 |    |
|  | AF   |                               |                              |   |                     |                                 |    |
|  | AG   |                               |                              |   |                     |                                 |    |
|  | AH   |                               |                              |   |                     |                                 |    |
|  | AI   |                               |                              |   |                     |                                 |    |
| <b>FOREIGN PATENT DOCUMENTS</b>  |  |                               |                              |   |                     |                                 |    |
|  | DOCUMENT NUMBER  | DATE                          | COUNTRY                      | CLASS   | SUBCLASS            | TRANSLATION                     |    |
|  |  |                               |                              |   |                     | YES                             | NO |
|  | 155 771  | 7/7/82                        | Germany                      |   |                     |                                 | X  |
|  | DE 44 20 516 A1  | 12/14/95                      | Germany                      |   |                     |                                 | X  |
|  | DE 44 20 516 C2  | 12/14/95                      | Germany                      |   |                     |                                 | X  |
|  | WO 98/58623  | 12/30/98                      | PCT                          |   |                     |                                 |    |
|  | Mukherjee, et al., "Substrate Specificity of Lipases in Protease Preparations", J. Agric. Food Chem. 1998, 1998 American Chemical Society, Published on the Web May 13, 1998 |                               |                              |   |                     |                                 |    |
|  | Ghosh, et al., "Lipase-Catalyzed Synthesis of Hydroxy Stearates and Their Properties", JAOCS, Vol. 75, No. 8 (1998) pp. 1057-1059  |                               |                              |   |                     |                                 |    |
|  |  |                               |                              |   |                     |                                 |    |
| <b>EXAMINER</b>  |  |                               |                              | <b>DATE CONSIDERED</b>  |                     |                                 |    |
| * EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |  |                               |                              |   |                     |                                 |    |

| Form PTO-1449<br>(REV. 7-80) U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br><b>LIST OF PRIOR ART<br/>CITED BY APPLICANT</b><br><br>(Use several sheets if necessary)  |  | Atty. Docket No.<br><br>14885 |                 | Serial No.<br><br>Unassigned |          |                                 |          |
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| Applicant<br>Burghard Grüning, et al.  |  | Filing Date<br>Herewith       |                 | Group<br>Unassigned          |          |                                 |          |
| <b>U.S. PATENT DOCUMENTS</b>   |  |                               |                 |                              |          |                                 |          |
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|  | AA   |                               |                 |                              |          |                                 |          |
|  | AB   |                               |                 |                              |          |                                 |          |
|  | AC   |                               |                 |                              |          |                                 |          |
|  | AD   |                               |                 |                              |          |                                 |          |
|  | AE   |                               |                 |                              |          |                                 |          |
|  | AF   |                               |                 |                              |          |                                 |          |
|  | AG   |                               |                 |                              |          |                                 |          |
|  | AH   |                               |                 |                              |          |                                 |          |
|  | AI   |                               |                 |                              |          |                                 |          |
| <b>FOREIGN PATENT DOCUMENTS</b>  |  |                               |                 |                              |          |                                 |          |
| EXAMINER<br>R<br>INITIAL*  | DOCUMENT NUMBER  | DATE                          | COUNTRY         | CLASS                        | SUBCLASS | TRANSLATION                     |          |
|  |  |                               |                 |                              |          | YES                             | NO       |
|  | WO 98/27952  | 7/2/98                        | PCT             |                              |          |                                 |          |
|  | JP 55147238  | 11/17/80                      | Japan           |                              |          |                                 | Abstract |
|  | JP 59014019  | 4/2/84                        | Japan           |                              |          |                                 | Abstract |
|  | Waldinger, et al., "Enzymatic Esterification of Glycerol III. Lipase-Catalyzed Synthesis of Regioisomerically Pure 1, 3-sn-Diacylglycerols and 1 (3)-rac-Monoacylglycerols Derived from Unsaturated Fatty Acids", JAOCS, Vol. 73, No. 11 (1996), pp. 1513-1519 |                               |                 |                              |          |                                 |          |
|  | Bell, et al., "Derivatives from Hydrogenated Castor Oil", Journal of the American Pharmaceutical Association, 32 (1943), pp. 115-118   |                               |                 |                              |          |                                 |          |
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